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ABSTRACT

This paper examines the topic of policy analysis and draws upon the recently developed Association of Research Libraries (ARL) Management Review and Analysis Program which is a guide to conducting a self-study of an academic library's management and organization. The program was designed by the Management Studies Office and is presently being tested and refined prior to making it generally available. The purpose of the Management Review and Analysis Program is to analyze the success of the library's present approaches to several management topics, such as the formulation and use of library policies. This occasional paper goes beyond this assessment process and proposes a system for improving the use of management policies in large academic liabraries. Its intent is to propose an approach to the formulation and use of academic library policies, and to demonstrate their importance for academic library management. (Author/SJ)

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LIBRARY POLICIES:

ANALYSIS, FORMULATION AND USE IN ACADEMIC INSTITUTIONS

by

Duane E. Webster

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PREFACE

This is the second in a series of Occasional Papers prepared by the ARL Office of Management Studies. The first occasional paper examined the problems of planning in an academic library and proposed a planning process that encompasses the formal library organization (the library director, a planning/budget officer, and unit heads), the seven steps of a long range planning activity, and staff involvement through a senior planning board, a planning task force, and program advisory groups.

This paper examines the topic of policy analysis and draws upon the recently developed ARL Management Review and Analysis Program which is a guide to conducting a self-study of an academic library's management and organization. The program was designed by the Management Studies Office and is presently being tested and refined prior to making it generally available. The purpose of the Management Review and Analysis Program is to analyize the success of the library's present approaches to several management topics, such as the formulation and use of library policies. This occasional paper goes beyond this assessment process and proposes a system for improving the use of management policies in large academic libraries.

The topic of policy analysis is one that library administrators are finding increasingly useful as an approach to understanding and improving library operation. The Management Studies Office expects to investigate further current practices of research libraries in this area. Libraries that have statements of policy in the areas outlined in the paper are asked to forward them to the office.

The office director was assisted in the editing and technical review of this paper by Sue Frankie and Carl Burness.

Duane Webster
Director
Office of University Library
Management Studies

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I. GENERAL DISCUSSION OF LIBRARY POLICIES

Introduction

All library organizations have policies, but the nature of these policies, their application and implications, vary considerably among institutions. Policies provide guidelines for action that help the library achieve its objectives, yet there is little help available to the library managers interested in improving the decision-making processes involved in the formulation, communication and implementation of these policies.

It appears that to a large extent policies are developed in reaction to specific problems, and are not recognized as being critical management tools. For the most part, libraries have not developed or used policies in a conscious attempt to direct or improve on a long-term basis the library's operations, program of services, and resources.

The intent of this paper is to propose an approach to the formulation and use of academic library policies, and to demonstrate their importance for academic library management. Some of the questions that will be addressed include:

1. What are the key areas of concern that should be addressed by library policies?

2. What differences does the use of policy make in the performance of the library?

3. What and who should be involved in the policy formulation process in academic libraries?

4. How should library policies be communicated and implemented?

Definition and Analysis of Policy

For the purpose of this paper we will define "policy" as a statement or general principle of library intent that helps translate program objectives into accomplishments by providing administrative guidelines for decision-making and implementation.*

A sample policy:

> The acquisition of specialized foreign language materials will be limited to those titles whose continuing availability on the campus is deemed essential to the instructional and research programs of the university.

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*Please note the distinction between policies as defined here, and the concepts of "objectives", "programs", and "procedures". Objectives here refers to desired future states, which, in order to be achieved, require a course of action. A program is a defined course of action taken to achieve objectives and includes an indication of required resources. The policy statement then, gives guidelines to be used in developing and following the course of action to reach these objectives. Procedures refer to the step-by-step details of execution of specific tasks set up as parts of the course of action within the policies. For further explanation of these related terms and examples of application, see Appendix One.

Policies are both restrictive and permissive, spelling out limits of acceptable action, and granting freedom to operate independently within these limits. Policies should be so formulated that they are generally applicable and flexible in meeting a number of contingencies, and at the same time, they must clearly indicate the intent of the library in regard to specific areas of concern.

Although policy statements may vary in degree of specificity, they should provide a basis for setting up continuing guidelines and for establishing criteria regarding types of effort, practices and methods to be used to reach library objectives.

Policies may address themselves to various "levels" of library activity. Major, overall policies which deal with issues that have library-wide and institutional implications, must fit into the larger framework of the university's objectives, programs, and policies.

Overall policy statements provide the basis for orderly, thoughtful change. Once stated they further assist and enable longer-range management planning. They avoid the characteristic crisis management that responds to problems only as they occur.

Operating policies, on the other hand, deal with the day-to-day internal activities of the organization units within the library, and are drafted in terms readily translatable and conducive to decision-making and action regarding specific regulations and procedures.

Need for Policies

The presence of policy statements in libraries suggests that libraries do make use of them to a limited degree, primarily in the conduct of personnel matters and in collection development. More often, however, only "informal" policies are used. These might be described as unwritten ways of doing things, which are "pulled out" as the occasion warrants. And, in too many instances it appears that there simply is no expressed or understood policy, written or unwritten.

While a lengthy discussion of the need for written policies may seem superfluous, the following premises are useful in outlining some basic considerations:

- Library programs and activities must operate within one framework and be directed toward a common set of objectives.
- The establishment of performance goals and determination of priorities is contingent upon a clear understanding of general library policies.
- Consistency and efficiency of operations are ultimately dependent upon the existence of a sound body of policies.
- Clear policy statements reinforce and protect the library in matters where the library's position is questioned or challenged.

To elaborate, policies which are based upon library objectives, provide the basis for the management systems of guidance and control within a library. Once established, these systems provide channels within which actions may be taken. Thus, library rules and regulations, procedures and operations should be based on and consistent with the objectives, roles and responsibilities of the library as defined by the university and the library administration.

Policies are of value in a number of ways. To name a few: they standardize activities, facilitate decision-making, minimize confusion, coordinate the actions of various units of the library, and conserve time in training personnel.

Policies can be usefully applied as points of reference in discussions with university faculty, administration or other users. Policy should not become an obstacle to change or an excuse for failure to recognize genuinely special situations. At the same time policy should be applied as a fundamental position on a specific topic from which any departure must be specifically justified and appropriately approved in the regular process.

While it may be evident that policies are essential for operational efficiency, there is less recognition of the potential of policies as instruments of organizational analysis. Policies help provide management with criteria for evaluating library achievements. Policies can reflect not only what the library is now, but furnish guidelines for future directions and activities to be undertaken. Certainly, viewed as an entity, the body of policies for a library

provides an enlightening overview regarding the nature of the institution, its philosophy and approach, its perceptions of its role, and thus gives a perspective documented no where else in the written records of the library.

Management Principles

There are a number of management principles involved in the formulation and application of library policies. These principles, which are discussed in some detail in Part II of this paper, include:

1. University policies and library policies should be systematically correlated. The library is one component in the university complex. Library policies must be formulated so as to reflect the philosophy and objectives of the university as a whole, and at the same time clarify and enunciate the special role of the library within this larger framework.

2. The library's policies should be written, and should deal comprehensively and generally with all major areas of concern. The previous paragraphs explain the value of this. Policies can be critical working tools of management. It is a basic job of library management to identify the issues requiring explicit statements and to provide mechanisms for the preparation of the policy statements.

3. Policies should express the intent of the organization in relation to the issues addressed by the policies, and should serve as guidelines for decision-making and action. It is essential that the library's position on matters of general concern to the university community be clearly presented. A suggested list of issues that should be addressed by policy statements is provided in Appendix Two. Decisions in these areas can guide the library in fulfilling its functions and can help the university express its expectations of library programs.

4. The formulation and adoption of policies should involve the appropriate people. Members of the library administration and the university community (i.e., University Library Committee and University Officers) should work together in the policy-making process. A variety of "interest groups" should be represented. All participants should be knowledgeable regarding university programs and capable of making relevant inputs based on their special background and experiences. The entire library staff should have the opportunity to contribute in the preparation of internal operating policy.

5. A formal system should be established for reviewing, up-dating, and communicating library policies. In order to secure appropriate involvement of univer-

sity and library representatives without unduly delaying the policy writing process, a schedule and list of tasks should be prepared. This should provide for a regular process of monitoring and distributing policy. See additional comments regarding this process on pages 22 and 23 of this paper.

6. Responsibility for using and enforcing policies should be clearly assigned. A top administrative officer should be assigned the task for coordinating the preparation and review of policy statements. Each administrative position description throughout the organization should then note the scope of responsibility for preparing and using policies.

Concerns Addressed by Policies

No library can have a policy to cover every decision or contingency, but it is essential for the organization to formulate policies involving all major areas of concern. These policies will differ from one institution to the next. Each library will have its own distinct requirements and priorities. However, there are some basic questions involving general areas of concern to which all libraries must address themselves in formulating policies:

1. What is the major role of the library in its educational setting? To what extent and with what priority does the library engage in archival, instructional, research and information dissemi-

tion activities?

2. What are the components of the library system, and what is the nature of the relationships of these components? In addition to the resources and services of the main and branch libraries, are there collections of materials and information services provided elsewhere in the university that come under the jurisdiction of the library?

3. What library services are provided and how? Are there different categories of users and "levels" of service which require enunciation through policy statements?

4. What are the roles and responsibilities of the library in relation to extra-institutional agencies? In what manner and to what extent does the library coordinate its activities and cooperate in sharing its resources and providing services to those outside of the university?

5. What are the roles, responsibilities and relationships of the university administration, faculty, and students vis-a-vis the library administration and staff. What are the lines of authority and processes for decision-making?

In addition to concerns expressed in these questions, the areas of concern noted in Appendices Two (Overall Policy Issues) and Three (Operating/Implementing Policy Considerations) must also be reviewed.

II. FRAMEWORK FOR THE FORMULATION, IMPLEMENTATION AND COMMUNICATION OF LIBRARY POLICIES

Introduction

This section of the paper is devoted to the considerations involved in the systematic approach to the design, evaluation and use of library policies. This process of policy analysis is aimed at providing the local institution with a means of improving the management and operation of the library without necessarily involving the application of sophisticated management systems requiring quantitative analysis and other specialized capabilities. The proposed framework for policy analysis and development provides assistance to those charged with coordinating the preparation of policy, and encompasses several steps aimed at producing an on-going process of policy formulation and use. Some of these activities include: preparing an overall plan for policy development; developing a list of issues requiring policy statements; identifying and compiling existing policies; determining gaps and assessing inadequacies in existing policies; establishing a process of drafting, reviewing, establishing and communicating policies; formulating policy and providing for means of recommending, approving, establishing and communicating policies; and revising and updating policies on a continuing basis.

Task 1 Initiation of Policy Development Process

The first step in this process involves the preparation of a plan of action. Decisions must be made regarding the nature of the task involved, participants, procedures, and time schedules. This plan of action serves as a working guide for the library administration and staff as they proceed through a systematic review and compilation effort. It will also clarify for the library staff and the library user community the decision-making framework within which policies are created.

Task 2 Review of Existing University and Library Policies

An initial review is required that will identify present formal and informal policies that are in effect within the library and the university. This review may be accomplished by a staff task force working with the director. The primary task here is to take the outline of topics presented in Appendices Two and Three and others if identified and to determine for each what guidelines are presently operating. In some instances this will be a matter of identifying existing policies. In others, it may require articulation in writing of the task force's understanding of present actual but unwritten policies, identified through staff interviews, review of operations and the presence of complaints or questions about the library services.

If there are committees that are active in a policy-making role, the task force should spend some time with them determining their activities and accomplishments in the area of policy formulation.

The task force has a difficult assignment. The presence of policies, formal or informal, will be a concern at all levels of the library's operation. The task force will need to identify and categorize these current policies in order to discover neglected areas and to focus on the evaluation of approaches to policy-making. The group should avoid looking at lower-level procedures.

Furthermore, the task force is not assigned the responsibility to construct policies. They identify gaps, evaluate the viability of present statements, and they may even have to prepare written versions of unwritten policy.

The task force might consider an extensive library-staff interviewing schedule that would bring into focus questions such as:

- How are day-to-day decisions made in dealing with reader service problems? Are decisions based upon written library or university policy statements?
- Is library policy made as the result of a systematic process or does it formulate itself, evolving out of a series of decisions or even out of absence of decision?

. How is policy used? Do staff frequently respond "We don't do that because it's not our policy"?

An attempt should be made by the task force to secure and review all documents that might have implications for policy. They may include:

. University statutes relating to the library.

. Any statement of policy available from administrative offices or departmental units.

. Annual reports of the university and the library.

. Faculty and student handbooks.

. University planning statements.

. University catalogs, office memos, job descriptions, etc.

One of the results of this effort should be a compilation of policies that are available and presently in effect. This compilation would simply indicate what policies are or are not available in the several areas of library activity.

With such a compilation in hand and after a review of the documents that support it, the library can proceed to make an assessment of the strengths and weaknesses that characterize present approaches.

Task 3 Analysis of Existing Policies

This is the most difficult part of the policy review and may involve a number of people. After determining what policies

are available and the location and formality of the policy statements, an evaluation is needed of the quality of these policies. The evaluation should involve a staff group, probably a standing committee within the library which draws upon the findings of the task force used earlier. The evaluation may be based on the success that present policies have in addressing the considerations noted in Appendix Two and Three. Recommendations should emerge from this process for policies that should be rewritten and areas that need policies.

Regarding the policy-making process generally, some of the questions that may be asked are:

- What are some of the obvious problem areas that require policy or improved policy?
- What are the strengths and weaknesses of present policy-making and use systems?
- How does the present process of formulating policies work?
- Is there a need for changing the present methods of formulating policy? If so, why?
- What use is made of informal and formal policies?

The primary challenge facing the library staff group is to judge the effectiveness of present policy statements. To aid in this evaluation the following criteria are suggested:

- Is there a sound rationale for the policy?
- Does the policy address a significant area of concern?
- Does the policy reflect the philosophy and intent of the library?
- Does the policy relate to and is it consistent with the objectives and policies of the university?
- Is the policy adequately stated? Is it subject to misinterpretation?
- Is the policy up-to-date?
- Is the policy used?

Task 4 Recommendations Regarding New and Revised Policies

This is a logical outgrowth of Task 3, and may involve the same personnel. Generally speaking, the work here involves the identification of the major areas of concern not covered or inadequately covered by existing policy, and the formulation of new or revised policy statements for these areas. To aid in this identification process, a list of concerns is provided in Appendix Two of this paper, referred to previously.

Task 5 The Process of Formulating Policies

Following the evaluation of present policies and determination of the need for revision or addition of policy statements, the library's administration should move toward the

establishment of a schedule for the formulation of new policies. This schedule suggests a priority list of unwritten policies that need to be drafted, and an outline of areas that need policy statements. Responsibility for developing policies in specific areas must be assigned. The library's best talent must be involved at this point. The existing structure of library committees may be used as an input device, and the earlier task force may serve as a reviewing board. However, the task of actually drafting the policies should be given to the key administrator in the area of activity addressed by the policy.

An important element of this process is to assign responsibilities in the policy formulation and approval process clearly. Of course, the top library administration alone can simply originate and state what the library policies are. This practice is probably unwise, as it may lead to narrowly-defined policies that are not useful for the purposes intended. Instead, roles should be considered for the university administration, university library committee, the top library administration, and a standing library staff committee. These roles should encompass the standing library committee as the focal point for the policy process with the university administration and the library administration setting the tone and the direction for the activity. The involvement of the standing library committee is intended to encourage a climate where all library staff that are knowledgeable and interested have the opportunity to contribute to a decision-making process that is relevant and responsive to the needs of the institution.

Role of University Administration

The University administration must be involved in the library policy-making process at several stages. As noted several times elsewhere in this paper, the library must be viewed as one major component in the university complex. This relationship must be maximized in relating and coordinating library policy activities with those of the university.

Appropriate administrative personnel from the university and the library must agree upon the general posture of the library in regard to the statements of library intent reflected in library policies. Of course, we are referring here to overall library policies. Specific recommendations from the university administration on operating policies relating to such areas as technical processing are not expected or appropriate.

In addition, at a later stage, the university administration should review all major policy recommendations, and should be involved in the periodic review and updating of policy decisions.

University Library Committee

In addition to the university administration, it is most important that other extra-library influences be applied to the library policy-making process. The standing university library committee, usually composed of faculty and students, and hereafter referred to as the University Library Committee is an appropriate group that can bring the opinions and viewpoints representative of the user community of the university. Although this Committee is primarily concerned with matters re-

garding overall library policies, it may well be that some of the deliberations of this group should concern operating policies which directly affect library users. Both the university and the library administration should call upon this group for their observations and recommendations, based on the Committee's continuing discussions and activities regarding library matters. It is most important that a consensus of opinion and general agreement be reached with this group in both the identification of issues and final formulation of policies.

Library Director

The role of the library director is one of primary responsibility to see that needed policies exist. He takes the lead in identifying and considering issues, initiating action, and following through to the needed conclusions. He serves as the chief liaison officer with the university administration and the University Library Committee as discussed above.

Library Standing Committee

The role of the Library Standing Committee composed of library staff, is one of consideration of issues, review of approaches, and recommendation of policies. The Committee normally acts on the identification by the library director of issues requiring policy recommendations. Generally, the Committee does not initiate action but responds to those issues raised by the library administration. This group would best be an existing committee. If none exists, a group may be formed that represents a combination of administrative, professional, and non-professional staff.

Library Staff

As suggested earlier, provision should be made for widespread participation in formulating and recommending policies. One means of achieving this has been suggested. That is the use of a task force to review suggested statements, and to make recommendations to the director. Another means of assuring adequate involvement in this process is by distributing to the library staff appropriate draft policy statements and requesting that existing committees comment or react in terms of their scope of interest. This previewing process should also be open to general staff comment and questions. The intent is to get a representative input from the library staff.

Task 6 Preparing Policy Manual

In addition to developing a sound and comprehensive set of policies, it is essential that an official, accessible, usable record of these policies be made. This is most frequently accomplished with a policy manual. The policy manual is a tool for communication and for better management. The manual presents in one place those elements of judgement and philosophy that comprise the guiding principles behind the library's operating design.

While the physical appearance and formatting of policy manuals may differ considerably among institutions (overall and operating policies may be separated or combined, the number of physical volumes will vary, categorization and "sec-

tioning" of information may occur, use of illustrative materials varies, etc.), there are some general features characteristic of most policy manuals:

1. Topical Presentation of Policies: Classification schemes are frequently used to array library policies under such general headings as instutitional research, collections, services, personnel and management. Using a classified approach, each policy is numbered or coded corresponding to the code number assigned to tne general area of concern, and is interfiled by its number with those closely-related policies which are similarly coded. As with all such classification schemes, the emphasis in design should be on "what works". Logic, flexibility and general usability are most important.

2. Format of Policy Statement: As noted elsewhere in this paper, the amount of specificity in the policy statement may vary considerably. Essential, of course, to any policy statement is absolute clarity so that the library's intent is not subject to misinterpretation. Appendix Five provides one example of a format for policy statements. To be especially noted are fields provided for code (File Under), topics addressed, and reference to former policy if revised policy is issued.

3. Index to Policies: In addition to, or in place of the classification scneme, indexes to policy manuals can

greatly facilitate reference to policy content. Again, the choice of subject headings should be made on the basis of "what works". The contents should be thoroughly indexed. In addition to its major function of describing and addressing policy content, the index can be used to identify related policies.

4. Policy Manual: Because of the need for deleting and inserting policy changes, the policy manual usually consists of a notebook with an individual policy recorded on each page. As noted above, the notebook may be divided into sections for easy identification of special policy categories.

Task 7 Dissemination of Policy

As noted earlier, policies provide a framework within which specific decisions and actions may be taken. Thus, dissemination of policy is important to communicate basic library decisions and guide other subsidiary actions.

Information regarding policies should be disseminated as soon as the policy is established. This dissemination process should be formalized and regularized in a manner which clearly indicates the importance of the policy. The policy manual provides the proper vehicle for this systematic dissemination of policy. When appropriate, policies of special importance can be highlighted at the time of distribution.

Policy statements and the policy manual should be made available to all who have responsibility for or concern with the contents. Key offices should have copies and copies should be available for general use upon request at appropriate locations. Clear responsibility should be assigned for maintenance of copies of the manual -- as new statements are issued they should be promptly inserted and the sheets revised or replaced should be removed.

Task 8 Securing Periodic Policy Review

The final key step in the policy-making process is to provide for periodic review and updating of policy. This is critical for maintaining a set of library policies that is responsive to the changing needs and objectives of the university.

Procedures for the revision and updating of policies should be establisned with responsibility assigned for execution. The regular review should identify issues that call for policy changes in the opinion of the staff, the library users or the university.

The library director should ordinarily be the principal monitor and interpreter of policies and their application. He should be most aware of policy circumstances and needs, and of policy effectiveness. He needs to be alert to the application of policies, to identify departures from policy, to note gaps or needs for clarification, or issues that should be discussed. He should initiate appropriate consideration of such points.

However, the call for changes and improvements may result from the conduct of normal committee work, the emergence of concerns voiced by library staff, administration, or users, or from change in university programs and policies.

When the occasion for policy review and updating occurs, a significant aspect of policy use is the participation in the process. Comments on existing policies should be invited -- pointedly to those with direct responsibility and involvement (e.g., University Library Committee, faculty library representatives or bibliographers, key university officers, academic deans or department heads, library staff, and relevant leaders of student and other user groups) and as a general, open invitation to others concerned. A successful review process depends on the alertness of the staff and on the existence of a manual and a format for policy review. A formal review should take place at least annually.

In summary, the library director and staff should provide leadership in addressing policy points that need attention. The director, with staff participation, should initiate recommendations for new policies or revised policies. When genuine and significant policy issues involving differences of view occur, the director should refer them with recommendations to the proper university administrative authority.

The process of formulating comprehensive policy statements encourages systematic review of library operations. The library staff thus receives a clearer understanding of the diverse programs and activities of the total library.

Conclusion

Policies are presently an unrecognized, but potentially powerful tool for improving libraries. Policies which evolve from a library planning program help to sharpen and define the library mission. They focus on strategy efforts and secure coordinated pursuit toward goals of the library. They contribute to the capability of libraries to influence the changes taking place in the university.

Staffs are increasingly expecting a voice in the formulation of the governing rules of the organization within which they work. The University is calling for more responsive and effective library programs that demonstrate their contribution to the instructional and research programs of the university. Library users, both faculty and students, are demanding response to their ideas about collections and services. Library directors are finding that their job is placing inordinate demands on them and preventing the type of personal policy and "hands on" operational control that proved adequate in the past.

As a means of addressing these several problems, a policy-making process is herein suggested that:

1. differentiates between objectives, programs, policies, and procedures;

2. involves staff in the identification and solution of problems facing library operations;

3. allows immediate focus of staff energies on steps to review and evaluate present policy structure;

4. develops a comprehensive policy framework for university libraries;

5. develops specific policies or revisions of policies to cover needed points;

6. channels future library efforts toward the construction of a policy manual; and

7. reviews and updates existing policies and the policy manual.

Improving library performance and reducing library costs requires a carefully thought out approach to the process of reading decisions on issues of fundamental concern to the library and the university. This paper seeks to identify some of these issues and to suggest a method of policy analysis and development for libraries.

APPENDIX ONE

DEFINITION OF TERMS WITH EXAMPLES OF APPLICATION

As noted earlier in this paper, there is a need to differentiate among the concepts of objectives, programs, policies and procedures in order to secure understanding of the approaches to policy formulation proposed in this paper. The footnote on page 3 suggests a conceptual framework that will be enlarged upon here.

An objective is a desirable future condition which requires a course of action to achieve. It is a description of what you intend to accomplish. Libraries operate with a set of objectives. They may be major continuing library-wide intents such as -- to select and acquire those information resources needed to support the instructional and research programs of the university in accordance with program priorities of the university. While this statement is not precise it has considerable value to the institution because it can lead to a clearer definition and a justification of specific activities of the library within the programs of the university.

For such objectives to be useful they need to be reviewed periodically, say on a annual basis, to indicate the more specific library intents. For example, if the university intends to initiate a new urban studies degree program in the next year the library may propose several more specific objectives such as:

1. The library will seek to determine the information and library support requirements of the urban studies program.

2. The library will develop the collection and services for the undergraduate or instructional elements of the urban studies program.

The objectives in the urban studies area require that a course of action be planned and resources allocated. The course of action and the indicated resources are defined as a program. The library urban studies program details exactly what the library will do to support the university's urban studies degree program. This means that the broad program objective be refined down to specific goals that are short term and frequently quantifiable. These may encompass a statement of five or six goals such as: (1) to expand library monograph holdings in urban studies by 80% over an 18 month period, (2) to establish a separate reading room collection that consolidates urban studies materials and provides specialized services to the students and faculty in the programs, and (3) to locate, recruit and employ an outstanding urban studies bibliographer within the next year. The cost of these efforts will be estimated and budget and staff allocations noted. A program for library support would present in detail the objectives, the budget, the staff allowances, the facilities and the major activities associated with the library's urban studies efforts.

Policies are statements or general principles of library intent that help translate program objectives into actions by providing administrative guidelines for decision-making. For example: The acquisition of urban studies library materials will be governed by the availability of these materials in the Center for Research Libraries. Policies are both restrictive and permissive, spelling out limits of acceptable action, and granting freedom to operate independently within these limits. The policy statement then gives guidelines with emphases and limitations as to types of effort, practices, or methods that you will use to reach objectives. In the case of the urban studies example, there may be policies that would say, "Departmental or Branch Libraries" (such as the urban studies facility) will not acquire library materials available elsewhere on campus, except for heavily used items and basic reference tools. Another example of a system-wide policy that may apply here would be that all library materials requested specifically by faculty or students will be cataloged on a priority basis. Although policy statements may vary in degree of specificity, they should always provide a basis for making decisions and determining actions in areas such as urban studies.

A procedure is quite different from a policy in that it documents the best way to execute a specific activity or duty. For example, a related procedure would involve detailed instructions regarding special reserve status and circulation

controls for the urban studies materials. Policies are guides whereas procedures are step-by-step execution details. Procedures tell how best to do a certain task, they leave little room for individual judgement.

APPENDIX TWO

OVERALL POLICY ISSUES FOR A RESEARCH LIBRARY IN THE CONTEXT OF A UNIVERSITY SETTING*

This is a suggested list of concerns that the library and the university community should jointly consider and on which policy statements should be developed. Policy decisions in these areas can guide the library in fulfilling its functions and can guide the university in its expectations.

I. Instruction

1. Library support for university instructional programs
   - materials
   - facilities
   - services

2. Magnitude and proportion of resources allocated
   - materials
   - facilities
   - services

3. Role and relationship of the library in instructional programs

4. Priority of library support for instructional programs of the university

II. Research

1. Library support for the university research programs

- materials
- facilities
- services

2. Magnitude and proportion of library resources allocated
   - materials
   - facilities
   - services

3. Role and relationship of library in attracting research programs and supporting them

4. Priority of library support for university research programs

III. Collections

1. Scope, depth and organization of general collection
2. Types of materials to be provided and maintained
3. Responsibility for selection decisions
4. Involvement of faculty in development of collections
5. Relation of collections to the university instructional and research programs
6. Communication of collection policies to faculty
7. Preservation, retirement, replacement and duplication of materials
8. Size and proportion of resources allocated
9. Priority of library activities in this area

IV. Access to Services and Materials

1. Clientele to be served and priorities
2. Provision and organization of physical facilities

3. User orientation, intrepretation and instruction
4. Branch libraries
5. Public service obligation
6. Service attitudes and posture
7. Scope and extent of services

V. Staff Resources

1. Organization of Human Resources
2. Categories of capabilities
3. Provision of specialized skills
4. Status and role of librarian
5. Development of staff

VII. Overall Management Considerations

1. Administrative and working relationships within the university
2. Library governance
3. Stewardship and utilization of limited resources
4. Cooperative relationships with other libraries

*This list of issues was developed and refined with the aid of Jerome Yavarkovsky, Assistant Director of Libraries for Planning at Columbia University Libraries.

APPENDIX THREE

OPERATING/IMPLEMENTING POLICY CONSIDERATIONS FOR A RESEARCH LIBRARY IN A UNIVERSITY SETTING

As a means of illustrating the range of issues that require library judgement, the following topics are suggested for consideration for operating policy statements. These topics are separated from the preceding list in Appendix Two for purposes of clarity. The statements prepared by the library may or may not retain this division. The primary difference in these two lists is specificity. The operating policy topics are oriented toward the detailed internal operating requirements of the library while the overall policy topics concern issues that require university-wide review discussion and decision.

I. Collection Organization and Development

1. Main library
   - subjects covered
   - selectors
   - types of material
   - relation to academic departments

2. Branch library
   - subjects covered
   - selectors
   - types of material
   - relation to academic departments

3. Departmental libraries
   - subjects covered
   - selectors
   - types of material
   - relation to academic departments

4. Independent or autonomous university and college libraries
   - subjects covered
   - selectors
   - types of material
   - relation to academic departments

II. Access to Services and Collections

1. Availability of materials
2. Library use privileges
3. Availability of facilities
4. Bibliographic servicing of collection
5. Reference service
6. Information assistance
7. Orientation, interpretation, and instructional activities (classroom instruction, tours, displays and publications)
8. Communication of acquisition and service policies

III. Provision and Organization of Physical Facilities

1. Main library
2. Branch library
3. Departmental libraries
4. Independent university and college libraries

IV. Support Services

1. Planning and budget
2. Systems analysis
3. Acquisitions and processing of library materials
4. Technological development
5. Reporting, records and statistics
6. Facilities management
7. Shipping and receiving
8. Financial management

V. Organization and Staffing

1. Internal library organization
2. Personnel organization and staff development
3. Staff recruitment, selection, placement, promotion, compensation and termination
4. Professional and technical staff requirements
5. Systems and procedures

APPENDIX FOUR

FORMAT FOR POLICY STATEMENT

POLICY MANUAL - EVERYMAN UNIVERSITY

REPLACES:	MAJOR TOPIC: (Keyed to manual outline)	FILE UNDER:
SECTION:		SECTION: (Keyed to manual outline
ISSUANCE NO. PAGE:	SUB-TOPIC: (Keyed to manual outline)	ISSUANCE NO. PAGE OF
DATE:		DATE
PURPOSE:		

(One sentence statement to indicate the reason for this policy.)

STATEMENT OF POLICY

(Brief but specific statement to indicate the policy decision and its expected application.)

(Where more than one subject is mentioned, first consideration should be given to possible need for a separate policy statement. If two subjects need to be mentioned in one issuance the statement should be in numbered outline form that will clearly distinguish them.)

APPENDIX FIVE

SELECTED REFERENCES FOR ADDITIONAL INFORMATION

The use of formal policy statements to meet the demands of contemporary programs in research libraries is experiencing a renewed interest by librarians. Selection and acquisition activities of the library are most frequently the subject of concern addressed by library policies. Stanford University's library policy statement on book selection is a polished example of the traditional selection policy doing a contemporary job of defining and delineating the areas of collection development for one large university. Columbia University Libraries has approached this same activity by developing a computerized listing of all specific subjects covered by the library's collection and indicating the depth and coverage of each of the several library units in the area. This tool leads to analysis and decision on such problems as overlap, primary vs. secondary coverage and possible collection gaps.

Libraries are also experimenting with the compilation of library constitutions. These result from library staff deliberations and attempt to codify the perspectives and viewpoints of the library faculty as they apply to the complete range of library interests and issues. Examples of this approach are available from the University of Minnesota Libraries and the Northwestern University Libraries.

There is little library literature on the topic of policies. The use of policy is treated only in the development of selection and acquisition activities. Some recent texts

look at the area of personnel policies. No guidance, however, is available for the development of a comprehensive framework and approach to policies as a working tool for library managers and others with library responsibility. Due to the lack of library literature on this topic, interested administrators will have to examine the management literature. It is expected that the Office of Management Studies will conduct a survey of policy by research libraries in the near future and this will provide additional data.

Ackoff, Russell L., "Policies and Courses of Action" in A Concept of Corporate Planning, New York: Wiley-Interscience, 1970. pp. 42-64.

The author defines policies and suggests ways of securing a better understanding of organizations as a means of constructing innovative and effective policies. He notes that excessive familiarity with a particular system or organization makes it difficult to be inventive. Suggestions are made for experimentation with fresh ideas or courses of action and policies. An excellent example presented here concerns long-range planning in the university (p.59).

Beverly, Maurice P., "Establishing Policy" in Maynard, H.B. Handbook of Business Administration, New York: McGraw-Hill, 1967, pp. 4-3 through 4-13.

A standard text which contains a discussion of what policy is and how policy can be used in business organization

Booz, Allen and Hamilton, Inc. Organization and Staffing of the Libraries of Columbia University: A Case Study. Washington, D.C., Association of Research Libraries, to be published in Spring, 1973. pp.101-103.

A small portion of the Columbia Study examines the value of a comprehensive policy system for research libraries and makes recommendation for development of such a system at the Columbia Libraries.

Steiner, George A., "Business Policies and Procedures" In Top Management Planning, New York: MacMillan Co., 1969. pp.263-284.

An authoritative review of the nature of policies and their significance. Although oriented toward business management, administrators in research libraries will find the classification of policy areas very useful.